

PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   |                        |                         |
|---|------------------------|-------------------------|
| <b>TRANSMITTAL FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number     | 10/721,126              |
|   | Filing Date            | 11/25/2003              |
|   | First Named Inventor   | Robert YS Huang         |
|   | Art Unit               | 2812                    |
|   | Examiner Name          | Not Assigned            |
| Total Number of Pages in This Submission  | Attorney Docket Number | Huang 5-13-7-3-33-7/286 |

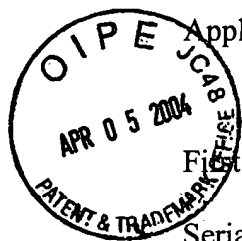
| ENCLOSURES (Check all that apply)  |  |   |
|--|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Technology Center (TC)<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br><b>1. Postcard</b> |
| <div>Remarks</div>   |  |   |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm or Individual name                    | Beusse Brownlee Wolter Mora & Maire, P.A.<br>James H. Beusse |
| Signature                                  |  |
| Date                                       | March 31, 2004   |

| CERTIFICATE OF TRANSMISSION/MAILING   |              |                 |
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| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. |              |                 |
| Typed or printed name   | Shirley Goff |                 |
| Signature   |              | Date 03/31/2004 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Application No. 10/721,126

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: **Robert YS Huang**

Group Art Unit: **2812**

Serial No. **10/721,126**

Examiner: **Not Assigned**

Filed: **11/25/2003**

For: **Mask Layer And Dual Damascene Interconnect  
Structure In A Semiconductor Device**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT TRANSMITTAL**

- ☒ 1. Pursuant to 37 CFR 1.97(b)  
(within 3 months of filing or prior to 1st Office Action)
- ☐ 2. Certification Pursuant to 37 CFR 1.97(c)  
(before Final Office Action or Allowance)
- ☐ 3. Fee Payment Pursuant to 37 CFR 1.97(c)  
(before Final Office Action or Allowance)
- ☐ 4. Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d)  
(before issue fee payment)

Mail Stop Patent Application  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

- ☒ 5. A list of documents on form PTO-1449 is enclosed herewith.

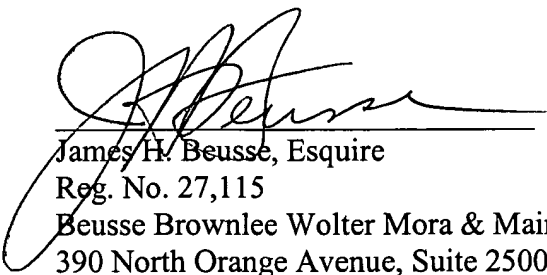
This paper is submitted in accordance with:

- ☐ 6. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
- ☐ 7. 37 CFR 1.97(c): [before Final office Action or Allowance, whichever is earlier;  
and
- ☐ 8. The required certification made in item 11 below; or
- ☐ 9. The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information  
Disclosure Statement.

- ☐ 10. 37 CFR §1.95(d): [before issue fee payment]; and
- a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$180.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention: PETITIONS EXAMINER" and, if applicable, include batch locator information: e.g., "Allowed Files, Batch \_\_\_\_, Date of Allowance \_\_\_\_"), and
- b) The required Certification is stated in item 11 below.
- ☐ 11. Certification
- ☐ 12. Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
- or
- ☐ 13. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☐ 14. Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. \_\_\_\_\_.

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

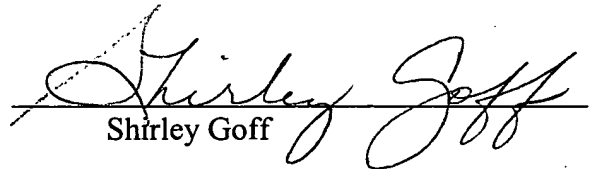


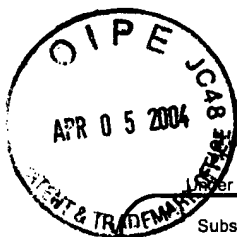
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CERTIFICATE OF MAILING

I HEREBY CERTIFY that this Information Disclosure Statement is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Mail Stop Patent Application, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 31st day of March, 2004.

  
Shirley Goff



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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

|                        |                         |
|------------------------|-------------------------|
| Application Number     | 10/721,126              |
| Filing Date            | 11/25/2003              |
| First Named Inventor   | Robert YS Huang         |
| Art Unit               | 2812                    |
| Examiner Name          | Not Assigned            |
| Attorney Docket Number | Huang 5-13-7-3-5-33/286 |

**U. S. PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       | 1                        | US- 2002/0117760 A1                      | 08/29/2002                     | Gates et al.                                       |   |
|                       | 2                        | US- 2002/0173163 A1                      | 11/21/2002                     | Gutsche  |   |
|                       | 3                        | US- 6,312,874                            | 11/06/2001                     | Chan et al.  |   |
|                       | 4                        | US- 6,537,908                            | 03/25/2003                     | Fornof et al.                                      |   |
|                       |                          | US-                                      |                                |  |   |
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**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>6</sup> |
|-----------------------|--------------------------|---|-----------------------------------|--|---|----------------|
|                       |                          | Country Code <sup>3</sup> "Number" <sup>4</sup> "Kind Code" <sup>5</sup> (if known) |                                   |  |   |                |
|                       | 5                        | PCT WO 01/43171 A1  | 06/14/2001                        | Infineon Technologies                              |   |                |
|                       |                          |   |                                   |  |   |                |
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Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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